

**STEWARDSHIP AND OVERSIGHT AGREEMENT  
ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT  
BY AND BETWEEN  
FEDERAL HIGHWAY ADMINISTRATION, TENNESSEE DIVISION  
AND THE  
STATE OF TENNESSEE DEPARTMENT OF TRANSPORTATION**

**SECTION I. BACKGROUND AND INTRODUCTION**

The Federal-aid Highway Program (FAHP) is a federally-assisted program of State-selected projects. The Federal Highway Administration (FHWA) and the State Departments of Transportation have long worked as partners to deliver the FAHP in accordance with Federal requirements. In enacting 23 U.S.C. 106(c), as amended, Congress recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA. Congress also recognized the importance of a risk-based approach to FHWA oversight of the FAHP, establishing requirements in 23 U.S.C. 106(g). This Stewardship and Oversight (S&O) Agreement sets forth the agreement between the FHWA and the State of Tennessee Department of Transportation (TDOT) on the roles and responsibilities of the FHWA and TDOT with respect to Title 23 project approvals and related responsibilities, and FAHP oversight activities.

The scope of FHWA responsibilities, and the legal authority for State DOT assumption of FHWA responsibilities, developed over time. The U.S. Secretary of Transportation delegated responsibility to the Administrator of the FHWA for the FAHP under Title 23 of the United States Code, and associated laws (49 CFR 1.84 and 1.85). The following legislation further outlines FHWA's responsibilities:

- Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991;
- Transportation Equity Act for the 21st Century (TEA-21) of 1998;
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005; and
- Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 (P.L. 112-141).

The FHWA may not assign or delegate its decision-making authority to a State Department of Transportation unless authorized by law. Section 106 of Title 23, United States Code (Section 106), authorizes the State to assume specific project approvals. For projects that receive funding under Title 23, U.S.C., and are on the National Highway System (NHS) including projects on the Interstate System, the State may assume the responsibilities of the Secretary of the U.S. Department of Transportation under Title 23 for design, plans, specifications, estimates, contract awards, and inspections with respect to the projects unless the Secretary determines that the assumption is not appropriate. (23 U.S.C. 106(c)(1)) For projects under Title 23, U.S.C. that are not on the NHS, the State shall assume the responsibilities for design, plans, specifications,

estimates, contract awards, and inspections unless the State determines that such assumption is not appropriate (23 U.S.C. 106(c)(2).)

For all other project activities which do not fall within the specific project approvals listed in Section 106 or are not otherwise authorized by law, the FHWA may authorize a State DOT to perform work needed to reach the FHWA decision point, or to implement FHWA's decision. However such decisions themselves are reserved to FHWA.

The authority given to the State DOT under Section 106(c)(1) and (2) is limited to specific project approvals listed herein. Nothing listed herein is intended to include assumption of FHWA's decision-making authority regarding Title 23, U.S.C. eligibility or Federal-aid participation determinations. The FHWA always must make the final eligibility and participation decisions for the Federal-aid Highway Program.

Section 106(c)(3) requires FHWA and the State DOT to enter into an agreement relating to the extent to which the State DOT assumes project responsibilities. This Stewardship and Oversight Agreement (S&O Agreement), includes information on specific project approvals and related responsibilities, and provides the requirements for FHWA oversight of the FAHP (Oversight Program), as required by 23 U.S.C. 106(g).

## **SECTION II. INTENT AND PURPOSE OF S&O AGREEMENT**

The intent and purpose of this S&O Agreement is to document the roles and responsibilities of the FHWA's Tennessee Division Office (FHWA or Division) and TDOT with respect to project approvals and related responsibilities, and to document the methods of oversight which will be used to efficiently and effectively deliver the FAHP.

The Project Action Responsibility Matrix, Appendix A to this S&O Agreement and as further described in Section VIII of this S&O Agreement, identifies FHWA FAHP project approvals and related responsibilities TDOT assumes from FHWA on a program-wide basis pursuant to 23 U.S.C. 106(c) and other legal authorities. Upon execution of this agreement, Appendix A shall be controlling and except as specifically noted in Appendix A, no other agreements, appendices, or other documents shall have the effect of delegating or assigning FHWA approvals to TDOT on a program-wide basis under 23 U.S.C 106 or have the effect of altering Appendix A.

## **SECTION III. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS ON THE NATIONAL HIGHWAY SYSTEM**

- A. TDOT *may assume* the FHWA's Title 23 responsibilities for design; plans, specifications, and estimates (PS&E); contract awards; and inspections, with respect to *Federal-aid projects on the National Highway System (NHS)* if both the *TDOT* and *FHWA* determine that assumption of responsibilities is appropriate.

- B. Approvals and related activities for which T DOT has assumed responsibilities as shown in Appendix A will apply program-wide unless project specific actions for which the Division will carry out the approval or related responsibilities are documented in accordance with the FHWA Project of Division Interest/Project of Corporate Interest Guide (FHWA PoDI/PoCI Guide) located at: <http://www.fhwa.dot.gov/federalaid/stewardship/>.
- C. TDOT may not assume responsibilities for Interstate projects that are in high risk categories. (23 U.S.C. 106(c)(1))
- D. TDOT is to exercise any and all assumptions of the Secretary responsibilities for Federal-aid projects on the NHS in accordance with Federal laws, regulations and policies.

**SECTION IV. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM**

- A. TDOT *shall assume* the FHWA’s Title 23 responsibilities for design, PS&Es, contract awards, and inspections, with respect to *Federal-aid projects off the NHS (non-NHS)* unless *TDOT* determines that assumption of responsibilities is not appropriate. (23 U.S.C. 106(c)(2))
- B. Except as provided in 23 U.S.C.109(o), TDOT is to exercise the Secretary’s approvals and related responsibilities on these projects in accordance with Federal laws.
- C. TDOT, in its discretion, may request FHWA carry out one or more non-NHS approvals or related responsibilities listed as “State” in Appendix A on a program-wide basis. For a project specific request, TDOT may request FHWA carry out any approval or related responsibility listed in Appendix A off the NHS. Such project-specific requests shall be documented in accordance with the FHWA PoDI/PoCI Guide.
- D. Pursuant to 23 U.S.C. 109(o), non-NHS projects shall be designed and constructed in accordance with State laws, regulations, directives, safety standards, design standards, and construction standards.

**SECTION V. ASSUMPTION OF RESPONSIBILITIES FOR LOCALLY ADMINISTERED PROJECTS**

TDOT may permit local public agencies (LPAs) to carry out TDOT’s assumed responsibilities on locally administered projects. TDOT is responsible and accountable for LPA compliance with all applicable Federal laws and requirements.

**SECTION VI. PERMISSIBLE AREAS OF ASSUMPTION UNDER 23 U.S.C. 106(c)**

TDOT's assumption of responsibilities under 23 U.S.C. 106(c) may cover only activities in the following areas:

- A. Design, which includes preliminary engineering, engineering, and design-related services directly relating to the construction of a FAHP-funded project, including engineering, design, project development and management, construction project management and inspection, surveying, mapping (including the establishment of temporary and permanent geodetic control in accordance with specifications of the National Oceanic and Atmospheric Administration), and architectural-related services.
- B. PS&E, which represents the actions and approvals required before authorization of construction. The PS&E package includes geometric standards, drawings, specifications, project estimates, certifications relating to completion of right-of-way acquisition and relocation, utility work, and railroad work.
- C. Contract awards, which include procurement of professional and other consultant services and construction-related services to include advertising, evaluating, and awarding contracts.
- D. Inspections, which include general contract administration, material testing and quality assurance, review, and inspections of Federal-aid contracts as well as final inspection/acceptance.
- E. Approvals and related responsibilities affecting real property as provided in 23 CFR 710.201(i) and any successor regulation in 23 CFR Part 710.

## **SECTION VII. FEDERAL APPROVALS AND RELATED RESPONSIBILITIES THAT MAY NOT BE ASSUMED BY THE STATE DOT**

- A. Any approval or related responsibility not listed in Appendix A cannot be assumed by TDOT without prior concurrence by FHWA Headquarters. The following is a list of the most frequently-occurring approvals and related responsibilities that may not be assumed by TDOT:
  - Civil Rights Program approvals;
  - Environmental approvals, except those specifically assumed under other agreements. (23 U.S.C. 326 and 327; programmatic categorical exclusion agreements);
  - Federal air quality conformity determinations required by the Clean Air Act;
  - Approval of current bill and final vouchers;
  - Approval of federally-funded hardship acquisition, protective buying, and 23 U.S.C. 108(d) early acquisition;
  - Project agreements and modifications to project agreements and obligation of funds (including advance construction);
  - Planning and programming pursuant to 23 U.S.C. 134 and 135;
  - Special Experimental Projects (SEP-14 and SEP-15);

- Use of Interstate airspace for non-highway-related purposes;
  - Any Federal agency approval or determination under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended, and implementing regulations in 49 CFR Part 24;
  - Waivers to Buy America requirements;
  - Approval of Federal participation under 23 CFR 1.9(b);
  - Provide pre-approval for preventive maintenance activities outside the scope of the FHWA-approved TDOT standard operating guidelines “Pavement Management Program”;
  - Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations, or other contributions applied to a project;
  - Functional replacement of property;
  - Approval of a time extension for preliminary engineering projects beyond the 10-year limit, in the event that actual construction or acquisition of right-of-way for a highway project has not commenced;
  - Approval of a time extension beyond the 20-year limit for right of way projects, in the event that actual construction of a road on the right-of-way is not undertaken;
  - Determine need for Coast Guard Permit;
  - Training Special Provision – Approval of New Project Training Programs; and
  - Any other approval or activity not specifically identified in Appendix A unless otherwise approved by the FHWA, including the Office of Chief Counsel.
- B. For all projects and programs, TDOT will comply with Title 23 and all applicable non-Title 23, U.S.C. Federal-aid program requirements, such as metropolitan and statewide planning; environment; procurement of engineering and design related service contracts (except as provided in 23 U.S.C. 109(o)); Civil Rights including Title VI of the *Civil Rights Act*, and participation by Disadvantaged Business Enterprises; prevailing wage rates; and acquisition of right-of-way, etc.
- C. This Agreement does not modify the FHWA’s non-Title 23 program approval and related responsibilities, such as approvals required under the Clean Air Act; National Environmental Policy Act, Executive Order on Environmental Justice (E.O. 12898), and other related environmental laws and statutes; the Uniform Act; and the Civil Rights Act of 1964 and related statutes.

## **SECTION VIII. PROJECT ACTION RESPONSIBILITY MATRIX**

Appendix A, Project Action Responsibility Matrix, to this S&O Agreement identifies FAHP project approvals and related responsibilities. The Matrix specifies which approvals and related responsibilities are assumed by the State under 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as approvals and related responsibilities reserved to FHWA.

## **SECTION IX. HIGH RISK CATEGORIES**

- A. In 23 U.S.C. 106(c), Congress directs that the Secretary shall not assign any approvals or related responsibilities for projects on the Interstate System if the Secretary determines the project to be in a high risk category. Under 23 U.S.C. 106(c)(4)(B), the Secretary may define high risk categories on a national basis, State-by-State basis, or national and State-by-State basis.
- B. The Division has determined there are no high risk categories.

#### **SECTION X. FHWA OVERSIGHT PROGRAM UNDER 23 U.S.C. 106(g)**

- A. In 23 U.S.C. 106(g), Congress directs that the Secretary shall establish an oversight program to monitor the effective and efficient use of funds authorized to carry out the FAHP. This program includes FHWA oversight of the State's processes and management practices, including those involved in carrying out the approvals and related responsibilities assumed by the State under 23 U.S.C. 106(c). Congress defines that, at a minimum, the oversight program shall be responsive to all areas relating to financial integrity and project delivery.
- B. The FHWA shall perform annual reviews that address elements of TDOT's financial management system in accordance with 23 U.S.C. 106(g)(2)(A). FHWA will periodically review TDOT's monitoring of sub-recipients pursuant to 23 U.S.C. 106(g)(4)(B).
- C. The FHWA shall perform annual reviews that address elements of the project delivery systems of TDOT, which elements include one or more activities that are involved in the life cycle of project from conception to completion of the project. The FHWA will also evaluate TDOT's practices for estimating project costs, awarding contracts, and reducing costs. 23 U.S.C. 106(g)(2) and (3).
- D. To carry out the requirements of 23 U.S.C. 106(g), the FHWA will employ a risk management framework to evaluate financial integrity and project delivery, and balance risk with staffing resources, available funding, and the State's transportation needs. The FHWA may work collaboratively with TDOT to assess the risks inherent with the FAHP and funds management, and how that assessment will be used to align resources to develop appropriate risk response strategies
- Techniques the Division and TDOT may use to identify and analyze risks and develop response strategies include the following:
- Program/Risk Assessments;
  - FIRE Reviews;
  - Program Reviews;
  - Certification Reviews;
  - Recurring or periodic reviews such as the Compliance Assessment Program (CAP); and
  - Inspections of project elements or phases.

These techniques will be carried out in a manner consistent with applicable Division Standard Operating Procedures or other control documents.

The following is not an all-inclusive list, but rather a list of some of the established techniques and processes, to be used to carry out the requirements of 23 U.S.C. 106(g):

- FHWA Tennessee Division Program/Risk Assessment Guidance;
- FHWA Project of Division Interest/Project of Corporate Interest Guide;
- FHWA Tennessee Division Projects of Division Interest SOP;
- FHWA Tennessee Division Compliance Assessment Program SOP; and
- FHWA Major Projects Guidance.

E. Program Responsibility Matrix

Appendix B to this S&O Agreement is the Program Responsibility Matrix that identifies all relevant FHWA program actions, and Division and TDOT program contact offices.

F. Manuals and Operating Agreements

TDOT manuals, agreements and other control documents that have been approved for use on Federal-aid projects are listed in Appendix C to this S&O Agreement.

G. Stewardship and Oversight Indicators

The Division and TDOT may jointly establish Stewardship and Oversight Indicators (Indicators). The Indicators should set targets, track trends, and implement countermeasures and actions when the data is moving away from the desired target direction. Indicators can provide documented evidence that TDOT assumption of responsibilities is functioning appropriately. Stewardship and Oversight Indicators should be reviewed on an annual basis, at a minimum. The Indicators shall be incorporated by reference to this S&O Agreement.

## **SECTION XI. TDOT OVERSIGHT AND REPORTING REQUIREMENTS**

A. TDOT Oversight and Reporting Requirements

TDOT is responsible for demonstrating to the FHWA how it is carrying out its responsibilities in accordance with this S&O Agreement. In order to fulfill this responsibility, TDOT, at a minimum, will:

- Provide Stewardship and Oversight activities on Federal-aid projects as described in the “Project Action Matrix” in Appendix A;
- Provide Stewardship and Oversight activities on Federal-aid programs as described in the “Program Action Matrix” in Appendix B;
- Follow the process outlined in the “Tennessee Environmental Procedures Manual” to prepare environmental documentation for Federal-aid projects in

order to ensure compliance with NEPA and other applicable laws. See Appendix C for a list of environmental agreements and procedures;

- Prepare project plans in accordance with the Division approved “Roadway Design Guidelines”, “Work Zone Safety and Mobility Manual”, “Traffic Design Manual”, and “Drainage Manual”, and other various manuals;
- Conduct construction activities as set forth in the project’s construction documents, in accordance with TDOT’s “Standard Specifications for Road and Bridge Construction”;
- Ensure nondiscrimination in all of their programs and activities by conducting Equal Employment Opportunity (EEO) contractor training reviews, assigning and monitoring training goals, establishing Disadvantaged Business Enterprise (DBE) goals and monitoring participation. Follow the process outlined in TDOT’s Title VI Plan, EEO/Affirmative Action Title VII Plan, DBE Plan, and their Americans with Disabilities Act (ADA) Transition Plan;
- Ensure that all bridges within its borders, including county and municipal owned bridges are inspected in accordance with the National Bridge Inspection (NBIS) and are maintained as part of the National Bridge Inventory (NBI);
- Ensure that the appraisal, acquisition, relocation and property management, as well as the principal activities used to acquire real property for the construction, operation, and maintenance of Federal-aid projects is completed in conformance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act by following the procedures outlined in TDOT’s “Right-of-Way Manual”; and
- Routine (monthly or quarterly) Program Meetings with TDOT partners (Safety Office, Section 130 Multimodal Office, Operations Office, Local Programs Development Office, etc.).

TDOT will maintain individual Federal-aid project files that will include documentation of all required FHWA actions and TDOT’s assumed project approvals as set forth in this Agreement. TDOT will provide FHWA access to the project files when requested.

FHWA and TDOT will assess effective implementation of project and program action delegations to TDOT through routine project and program assessments including, but not limited to, Annual Program Assessments, risk-based program reviews and Process Reviews, PoDI inspections, and CAP reviews.

## B. TDOT Oversight of Locally Administered Projects

B.1. TDOT is required to provide adequate oversight of sub-recipients including oversight of any assumed responsibilities TDOT delegates to a Local Public Agency (LPA).

This oversight includes communicating, educating, and validating the Federal requirements with sub-recipients. Oversight will be accomplished through review and inspection of individual projects, Quality Assurance Reviews, and analysis of data to track performance trends.



- B.2. Pursuant to 23 U.S.C. 106(g)(4), TDOT shall be responsible for determining that sub-recipients of Federal funds have adequate project delivery systems for locally administered projects and sufficient accounting controls to properly manage such Federal-aid funds. TDOT is also responsible for ensuring compliance with reporting and other requirements applicable to grantees making sub-awards, such as monthly reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, PL 109-282 (as amended by PL 110-252).

For all sub-recipients' projects or programs, TDOT will ensure compliance with Title 49, Title 23 and certain non-Title 23, U.S.C. Federal-aid program requirements, such as project delivery systems, NEPA, procurement of engineering and design related service contracts, Title VI of the Civil Rights Act of 1964 and its related statutes, participation by disadvantaged business enterprises, prevailing wage rates, acquisition of right-of-way, and accounting controls, among other Federal-aid requirements. This will be accomplished by direct application of TDOT's Local Government Guidelines (LGG), as approved by FHWA.

- B.3. TDOT acknowledges that it is responsible for sub-recipient awareness of Federal grant requirements, management of grant awards and sub-awards, and is familiar with and comprehends pass through entity responsibilities (2 CFR 200.331 Requirements for pass-through entities). TDOT shall carry out these responsibilities using the following actions, programs, and processes:

TDOT provides numerous resources, including the LGG and other supporting documentation to aid sub-recipients compliance with Federal requirements. Additionally, TDOT requires LPAs to submit annual audits for TDOT review to ensure compliance with Federal requirements.

- B.4. TDOT shall assess whether a sub-recipient has adequate project delivery systems and sufficient accounting controls to properly manage projects, using the following actions, programs, and processes:

In accordance with TDOT's LGG, annual training offered to local governments, staff and equipped interviews, and the requirement that LPAs must submit annual audits for TDOT to review.

- B.5. TDOT shall assess whether a sub-recipient is staffed and equipped to perform work satisfactorily and cost effectively, and that adequate staffing and supervision exists to manage the Federal project(s), by using the following:

TDOT ensures this through implementation of the LGG, the submission of audits, and conducting regular staffed and equipped interviews with the LPAs.

- B.6. TDOT shall assess whether sub-recipient projects receive adequate inspection to ensure they are completed in conformance with approved plans and specifications, by using the following:

TDOT's Circular Letter 105.11-01 documents TDOT's inspection responsibilities for LPA projects to ensure conformance with approved plans and specifications. TDOT's LGG documents procedures and processes for LPAs and TDOT staff in the oversight of construction projects. Furthermore, TDOT requires LPAs to hire Construction Engineering Inspectors for each project and TDOT conducts monthly construction inspections of LPA projects.

- B.7. TDOT shall ensure that when LPAs elect to use consultants for engineering services, the LPA, as provided under 23 CFR 635.105(b), shall provide a full-time employee of the agency to be in responsible charge of the project. The TDOT's process to ensure compliance with this requirement is documented by the following:

TDOT ensures this through their LGG, staffed and equipped interviews and the requirements for providing and signing a responsible charge form for each project.

- B.8. TDOT shall ensure that project actions will be administered in accordance with all applicable Federal laws and regulations. TDOT will use the process outlined in the LGG for required approvals on sub-recipient projects and approved on sub-recipient administered projects. The activities for ensuring compliance oversight cover, but are not limited to, the following areas:

- a. Consultant selection and management;
- b. Environmental approval;
- c. Design review and design exception approval;
- d. Civil Rights review;
- e. Financial management including audits and indirect cost allocation plans;
- f. Right-of-way plan approval;
- g. Construction monitoring, including Quality Control/Quality Assurance (QC/QA); and
- h. Contract administration, including TDOT's responsibility to approve a sub-recipient to pursue a contract procurement method other than competitive bidding.

- B.9. TDOT shall document its oversight activities for LPA-administered projects and findings, and how it will share this information with the FHWA.

TDOT provides oversight through their LPDO. This staff manages the program by providing guidance, training, and technical assistance to local agencies.

The LGG describes the processes, documents, and approvals necessary for local agencies to administer Federal-aid projects. The Division reviews and concurs with the information in the LGG, as needed, to ensure it complies with federal requirements.

By agreeing to accept Federal-aid funds, the local agency understands its roles and responsibilities with respect to carrying out the FAHP. TDOT is permitted to delegate certain activities, under its supervision to local agencies under Federal regulation 23 CFR 1.11 and 635.105; however, TDOT accepts responsibility for delegated activities.

TDOT holds quarterly meetings with FHWA staff to communicate LPA issues, discuss projects, and provide assistance.

## **SECTION XII. IMPLEMENTATION AND AMENDMENTS**

- A. This S&O Agreement will take effect as of the effective date of the signature of the FHWA Tennessee Division Administrator, who shall sign this S&O Agreement last.
- B. The Division and TDOT agree that updates to this Agreement will be considered periodically on a case-by-case basis or when:
- Significant new legislation, Executive orders, or other initiatives affecting the relationship or responsibilities of one or both parties to the S&O Agreement occurs;
  - Leadership, or leadership direction, changes at the State DOT or FHWA; or
  - Priorities shift as a result of audits, public perception, or changes in staffing at either the TDOT or Division Office.
- C. The Division and TDOT agree that changes may occur to the contents of the Appendices to this S&O Agreement and documents incorporated by reference into the S&O Agreement. Except as provided in paragraph XII.D and E, changes to the Appendices and documents incorporated by reference will not require the Division and TDOT to amend this S&O Agreement. The effective date of any revisions to one of these documents shall be clearly visible in the header of the revised document. This Agreement and any revised document shall be posted on the Division's S&O Agreement internet site within five (5) business days of the effective date.
- D. Any changes to the high risk categories must be documented by an amendment to this S&O Agreement.
- E. Any changes to the Project Action Responsibility Matrix must be approved by the FHWA Office of Infrastructure in writing and documented by an amendment to this S&O Agreement.

**APPENDIX A**

**PROJECT ACTION RESPONSIBILITY MATRIX**

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities on a program-wide basis. The matrix specifies which actions are assumed by the State of Tennessee under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA. Projects classified as PoDI projects are not covered by the matrix, as those projects will be governed by a separate PoDI plan that specifies FHWA and State responsibilities for the project. For example, FHWA may identify an ITS project for oversight as a PoDI to approve the Systems Engineering Analysis under its Risk-Based Stewardship and Oversight Program.

In the matrix, actions marked with an asterisk (“FHWA\*”) are those that FHWA has retained but that could have been assumed by the Tennessee Department of Transportation (TDOT) through FHWA discretion (on the NHS) or by right (off the NHS). Projects requiring those actions are PoDI projects because of FHWA’s retained authority. Those projects will be governed by a separate PoDI Plan that specifies FHWA and TDOT responsibilities for the project.

TDOT is responsible for ensuring all individual elements of the project are eligible for FAHP funding, but all final eligibility and participation determinations are retained by FHWA.

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Ensure project in Statewide Transportation Improvement Program (STIP)/Transportation Improvement Program (TIP)	STATE	STATE
Identify proposed funding category	STATE(1)	STATE(1)
Obligate funds/approve Federal-aid project agreement, modifications, and project closures (project authorizations) (Note: this action cannot be assumed by State)	FHWA	FHWA
Authorize current bill (Note: this action cannot be assumed by State)	FHWA	FHWA
Review and Accept Financial Plan and Annual Updates for Federal	FHWA	FHWA

**EXECUTION BY THE FHWA TENNESSEE DIVISION OFFICE**

Executed this 15<sup>th</sup> day of June, 2015.

  
\_\_\_\_\_  
Signature

\_\_\_\_\_  
Pamela M. Kordenbrock  
Division Administrator

**EXECUTION BY THE TENNESSEE DEPARTMENT OF TRANSPORTATION**

Executed this 15<sup>th</sup> day of June, 2015.



\_\_\_\_\_  
Signature

\_\_\_\_\_  
John Schroer  
Commissioner

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)		
Review Cost Estimates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Develop Financial Plan for Federal Projects between \$100 million and \$500 million. [23 U.S.C. 106(i)]	STATE	STATE
All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal environmental laws and regulations. (Note: this action cannot be assumed by STATE except under 23 U.S.C. 327)	FHWA(2)	FHWA(2)
Categorical Exclusion approval actions (Note this action cannot be assumed by the State except through an assignment under 23 U.S.C. 326 or 327, or through a programmatic agreement pursuant to Section 1318(d) of MAP-21 and 23 CFR 771.117(g))	FHWA(2)	FHWA(2)
Consultant Contract Selection	STATE (3)	STATE (3)
Sole source Consultant Contract Selection	STATE (3)	STATE (3)
Approve hiring of consultant to serve in a “management” role (Note: this action cannot be assumed by State) [23 CFR 172.9]	FHWA	FHWA
Approve consultant agreements and agreement revisions (Federal non-Major Projects) [23 CFR 172.9]	STATE	STATE
Approve consultant agreements	FHWA	FHWA

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
and agreement revisions on Federal Major Projects [23 CFR 172.9] (Note: this action cannot be assumed by State)		
Approve exceptions to design standards [23 CFR 625.3(f)]	STATE	STATE
Interstate System Access Change [23 USC 111] (Note: this action cannot be assumed by State)	FHWA	N/A
Interstate System Access Justification Report [23 USC 111] (Note: action may be assumed by State pursuant to 23 USC 111(e))	FHWA*	N/A
Airport highway clearance coordination and respective public interest finding (if required) [23 CFR 620.104]	STATE	STATE
Approve Project Management Plan for Federal Major Projects over \$500 million [23 USC 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (Note: this action cannot be assumed by State)	FHWA	FHWA
Provide pre-approval for preventive maintenance activities outside the scope of the FHWA-approved TDOT standard operating guidelines, "Pavement Management Program"	FHWA	FHWA
Provide approval of preliminary plans for unusual/complex bridges or structures on the Interstate. [23 USC 109(a) and FHWA Policy]	FHWA (4)	N/A
Provide approval of preliminary plans for unusual/complex bridges	State (4)	STATE



<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
or structures (non-Interstate). [23 USC 109(a) and FHWA Policy]		
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	STATE	STATE
Approve use of local force account agreements [23 CFR 635.104 & 204]	STATE	STATE
Approve use of publicly owned equipment [23 CFR 635.106]	STATE	STATE
Approve the use of proprietary products, processes [23 CFR 635.411]	STATE	STATE
Concur in use of publicly furnished materials [23 CFR 635.407]	STATE	STATE
Make feasibility/practicability determination for allowing authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]	STATE	STATE
Make public interest finding on whether State may proceed with bid advertisement even though ROW acquisition/relocation activities are not complete for some parcels [23 CFR 635.309(c)(3)]	FHWA for Interstate STATE for Non-Interstate	STATE
Ensure compliant ROW certificate is in place [23 CFR 635.309(c)]	STATE	STATE
Approve Hardship and Protective Buying [23 CFR 710.503] (If a Federal-aid project) (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve Interstate Real Property	FHWA	N/A

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Interest Use Agreements [23 CFR 710.405] (Note: this action cannot be assumed by State)		
Approve non-highway use and occupancy [23 CFR 1.23(c)]	FHWA for Interstate STATE for Non-Interstate (3)	STATE (3)
Approve disposal at less than fair market value of federally funded right-of-way, including disposals of access control [23 U.S.C. 156] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve disposal at fair market value of federally funded right-of-way, including disposals of access control [23 CFR 710.409] (Note: 23 CFR 710.201 authorizes FHWA and STATE to agree to scope of property-related oversight and approvals for all actions except those on the Interstate System)	FHWA for Interstate STATE for Non-Interstate (3)	STATE (3)
Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations or other contributions applied to a project (note: this action cannot be assumed by State)	FHWA	FHWA
Federal land transfers [23 CFR 710, Subpart F] (Note: this action cannot be assumed by State)	FHWA	FHWA
Functional replacement of property [23 CFR 710.509] (Note: this action cannot be assumed by State)	FHWA	FHWA
Accept Transportation Management Plans (23 CFR 630.1012(b))	STATE	STATE
Approval of System Engineering Analysis (for ITS)	STATE	STATE

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
[23 CFR 940.11]		
Approve PS&E [23 CFR 630.201]	STATE	STATE
Authorize advance construction and conversions [23 CFR 630.703 & 709] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve utility or railroad force account work [23 CFR 645.113 & 646.216]	STATE	STATE
Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	STATE	STATE
Approve use of consultants by utility companies [23 CFR 645.109(b)]	STATE	STATE
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	STATE	STATE
Authorize (approve) advertising for bids (FHWA authorization done via construction authorization) [23 CFR 635.112, 309]	STATE	STATE
Approve cost-effectiveness determinations for construction work performed by force account or by contract awarded by other than competitive bidding [23 CFR 635.104 & .204]	STATE	STATE
Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 & .204]	STATE	STATE
Approve construction engineering by local agency [23 CFR 635.105]	STATE	STATE
Approve advertising period less than 3 weeks [23 CFR 635.112]	STATE	STATE

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Approve addenda during advertising period [23 CFR 635.112]	STATE	STATE
Concur in award of contract [23 CFR 635.114]	STATE	STATE
Concur in rejection of all bids [23 CFR 635.114]	STATE	STATE
Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	STATE	STATE
Approve changes and extra work [23 CFR 635.120]	STATE	STATE
Approve contract time extensions [23 CFR 635.120]	STATE	STATE
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	STATE	STATE
Accept materials certification [23 CFR 637.207]	STATE	STATE
Concur in settlement of contract claims [23 CFR 635.124]	STATE	STATE
Concur in termination of construction contracts [23 CFR 635.125]	STATE	STATE
Waive Buy America provisions [23 CFR 635.410] (Note: this action cannot be assumed by State)	FHWA	FHWA
Final inspection/acceptance of completed work [23 USC 114(a)]	STATE	STATE
Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal set by TDOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]	STATE	STATE
Acceptance of Bidder's Good Faith Efforts to Meet Contract Goal [49 CFR 26.53] or of Prime Contractor's Good Faith Efforts to Find Another DBE Subcontractor	STATE	STATE

<b>PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)</b> <b>(Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
When a DBE Subcontractor is Terminated or Fails to Complete Its Work [49 CFR 26.53(g)] (Note: this action cannot be performed by the FHWA)		
Equal Employment Opportunity (EEO) Contract Compliance Review [23 CFR Part 230, Subpart D]).	STATE	STATE
Training Special Provision – Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	STATE	STATE
Training Special Provision – Approval of New Project Training Programs (Note: this action cannot be assumed by State) [23 CFR 230.111(d), (e)]	FHWA	FHWA

**FOOTNOTES:**

- (1) State is responsible for ensuring that all individual elements of the project are eligible. FHWA will check that the scope of the project as described in submitted project agreement is eligible for the category of funding sought. All final eligibility and participation determinations are retained by FHWA.
- (2) If there is a 23 U.S.C. 326 or 325 assignment or PCE agreement, decisions are handled in accordance with those assignments or agreements.
- (3) State’s process and modifications to, or variation in process, require FHWA approval.
- (4) Unusual/Complex bridges and structures are those that the Division determines to have unique foundation problems, new or complex designs, exceptionally long spans, exceptionally large foundations, complex hydrologic (including climate change and extreme weather events) aspects, complex hydraulic elements or scour related elements, or that are designed with procedures that depart from currently recognized acceptable practices (i.e., cable-stay, suspension, arch, segmental concrete, moveable, truss, tunnels, or complex geotechnical walls or ground improvement systems).

**APPENDIX B**  
**PROGRAM RESPONSIBILITY MATRIX**

**Contents**

<b>Finance Program Action Responsibility .....</b>	<b>23</b>
<b>Civil Rights Program Action Responsibility .....</b>	<b>26</b>
<b>Planning Program Action Responsibility .....</b>	<b>31</b>
<b>Environment Program Action Responsibility .....</b>	<b>45</b>
<b>Right-of-Way &amp; Utilities Program Action Responsibility .....</b>	<b>49</b>
<b>Design (Highway &amp; Pavement) and Construction Program Action Responsibility .....</b>	<b>51</b>
<b>Structures (Bridge and Tunnel) Program Action Responsibility.....</b>	<b>55</b>
<b>Traffic Operations Program and Intelligent Transportation Systems Action Responsibility.....</b>	<b>56</b>
<b>Safety Program Action Responsibility .....</b>	<b>58</b>
<b>Maintenance and Asset Management Action Responsibility.....</b>	<b>61</b>
<b>Materials Acceptance Program Action Responsibility.....</b>	<b>62</b>
<b>Emergency Relief Program Action Responsibility .....</b>	<b>63</b>

### Finance Program Action Responsibility

Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A)& (B); 31 USC 1517(a); 23 USC 118(b), 23 USC 121	As needed	Office of Chief Financial Officer	Financial Manager and Financial Specialist	Director, Program Development Division	<p><b>TDOT Action:</b> Manage appropriations, allotments and obligations to ensure that all funding is used efficiently and pursuant to the applicable federal laws, rules and regulations.</p> <p><b>FHWA Action:</b> Provide TDOT funding Allocation/Appportionment Notices and ensure that funds are obligated timely and spent pursuant to federal laws, rules and regulations.</p>
State Transportation Department Financial Management Systems - Financial Integrity reviews	23 USC 106(g)(2)(A)	Annually	Office of Chief Financial Officer	Financial Manager	Director, Internal Audit Division	<p><b>TDOT Action:</b> Assure that Edison system satisfies the primary elements of the FAHP granted to TDOT by FHWA under Title 23 USC.</p> <p><b>FHWA Action:</b> Ensure that Edison system has a good foundation for satisfying the requirements of the FAHP and provides reasonable assurance that the Edison system will provide the necessary functionality that supports the FAHP granted to TDOT under Title 23 USC.</p>
Adequacy of Sub-recipient Project Delivery Systems and Sufficient Accounting Controls to Manage Federal Funds reviews	23 USC 106(g)(4)(A)(i)	As needed	Office of Chief Financial Officer	Financial Manager	Director, Program Development Division and Director, Finance Division	<p><b>TDOT Action:</b> Ensure that the financial management systems of subgrantees are adequate enough to meet the federal requirements of Financial Reporting, Internal Controls and all other applicable federal system requirements.</p>

Finance Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Assure that TDOT and subgrantees have adequate financial management systems that comply with the applicable federal requirements.
States Monitoring of sub-recipients periodic reviews	23 USC 106(g)(4)(B)	As needed	Office of Infrastructure	Financial Manager and Financial Specialist	Director, Finance Division and the Director, Program Development Division	<b>TDOT Action:</b> Monitor grant and subgrant supported activities to assure compliance with applicable federal requirements and that performance goals are being achieved.
						<b>FHWA Action:</b> Perform periodic reviews and assure that TDOT and subgrantees are compliant with applicable federal laws and regulations.
FIRE Program Activities	FHWA Order 4560.1C (or as superseded)	Ongoing	Office of Chief Financial Officer	Financial Manager and Financial Specialist	Director, Finance Division	<b>TDOT Action:</b> Provide oversight and conduct reviews to ensure Federal-aid compliance. Responsibilities include multiple tasks in support of risk assessments, conducting reviews and implementation of recommendations.
						<b>FHWA Action:</b> Review and monitor.
Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 2 CFR Part 200, Subpart F; GAAP, CFO Act of 1990; DOT Order 8000.1C	As needed	Office of Chief Financial Officer	Financial Manager	Director, Finance Division and Director, Internal Audit Division	<b>TDOT Action:</b> Assures corrective action is taken to resolve audit findings.
						<b>FHWA Action:</b> Monitor activities to ensure implementation.
RASPS - Current Billing	23 CFR Part 140 and 23	As needed	Office of Chief	Financial Manager	Director, Finance	<b>TDOT Action:</b> Submits electronically



### Finance Program Action Responsibility

Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
	CFR Part 635.122		Financial Officer		Division	to FHWA as often as desired. <b>FHWA Action:</b> Approve reimbursement request electronically timely.
Project Authorizations and Amended Project Authorization	23 CFR, Part 630, FHWA FIRE Order 4560.1b.	As needed	Office of Chief Financial Officer	Financial Manager and Financial Specialist	Director, Program Development Division	<b>TDOT Action:</b> Submit project authorization and amended requests electronically to FHWA. <b>FHWA Action:</b> Approve project authorization/amended authorization agreements timely.
Audit Findings	Sections 503, 1111, and 7501 of Title 31 USC, Executive Orders 8248 and 11541 and FHWA FIRE Order 4560.1b.	Issue management decision letter within six month upon receipt of audit report.	Office of Chief Financial Officer	Financial Manager	Director, Finance/Director, Internal Audit	<b>TDOT Action:</b> Assure that transportation audit findings are resolved. <b>FHWA Action:</b> Monitor activities to ensure that corrective actions are taken.
Improper Payments Review	Improper Payments Information Act of 2002, PL 107-300, Improper Payments Elimination and Recovery Act of 2010, PL 111-204, Improper Payments Elimination and Recovery Improvement Act of 2012, PL 112-248	Annually	Office of Chief Financial Officer	Financial Manager and Financial Specialist	Director, Finance Division	<b>TDOT Action:</b> Assure that adequate controls are in place to detect improper payments. Provide all information necessary to document sampled payments. <b>FHWA Action:</b> Conduct review of randomly selected billing transactions and complete appropriate data submittal forms.
Transfer of Funds between programs or to other FHWA offices or	23 USC 126, 23 USC 132, and FHWA Order 4551.1	As needed	Office of Chief Financial Officer	Financial Manager	Director, Program Development Division	<b>TDOT Action:</b> Review and recommend approval of transfer request to FHWA/FTA.

Finance Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
agencies						<b>FHWA Action:</b> Send funds transfer request FHWA HQ Finance office timely.
Project Funds Management/Monitoring of Inactive Obligations	23 CFR 630.110, CFO Funds Management Memorandum	Quarterly (March, June, September, December)	Office of Chief Financial Officer	Financial Manager and Financial Specialist	Director, Program Development Division	<b>TDOT Action:</b> Assure compliance with 23 CFR 630. Proactively conduct reviews of inactive projects for potential de-obligation and release of funds projects. Assure that balance of unexpended obligations is at or below national threshold.
						<b>FHWA Action:</b> Review balance of unexpended obligations and inactive projects and assure that balance of unexpended obligations is at or below national threshold.

Civil Rights Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
DBE Uniform Awards and Commitment Report	49 CFR Part 26 Appendix B	June 1; December 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit to FHWA for review bi-annually.
						<b>FHWA Action:</b> Review and submit to FHWA HQ (10 business days).

### Civil Rights Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Limited English Proficiency Plan	Executive Order 13166	Update as needed	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit update to FHWA for review.
						<b>FHWA Action:</b> Review and submit to FHWA HQ for information.
ADA Complaint Reports of Investigation	28 CFR 35.190	As needed	Office of Civil Rights	Civil Rights Specialist	ADA Coordinator	<b>TDOT Action:</b> Submit findings to FHWA for review and comment.
						<b>FHWA Action:</b> Review and send to FHWA HQ for approval and issuance of finding.
Americans with Disabilities Act (ADA) /Sec. 504 Program Plan accomplishments and next year's goals	49 CFR 27.11(c), EO 12250	Annually by October 1	Office of Civil Rights	Civil Rights Specialist	ADA Coordinator	<b>TDOT Action:</b> Submit accomplishments and goals to FHWA.
						<b>FHWA Action:</b> Review and comment.
ADA Transition Plan	28 CFR Part 35.105, 107 a & b 28 CFR Part 35.150 d 49 CFR Part 27.13 and 27.19	Update as needed	Office of Civil Rights	Civil Rights Specialist	ADA Coordinator	<b>TDOT Action:</b> Submit to FHWA for review.
						<b>FHWA Action:</b> Review (20 business days).
EEO Contractor Compliance Plan accomplishments and next year's goals	23 CFR 230, Subpart C, Appendix A, Part I, III	Annually by October 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Prepare and submit to FHWA for inclusion in Internal/External EEO/AA Plan.
						<b>FHWA Action:</b> Review and approve.
State Internal/External EEO Affirmative Action	23 CFR 230.311	Annually by October 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Prepare and submit plan to FHWA.

### Civil Rights Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Plan (Title VII) Accomplishments and Goals						<b>FHWA Action:</b> Review, comment and approve. Send courtesy copy to FHWA HQ.
Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392))	23 CFR 230.121(a); Appendix D to Subpart A, Part 230, General Information and Instructions	Annually by December 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit to FHWA for review and verification of data.
						<b>FHWA Action:</b> Review and submit to FHWA HQ. (5 business days).
Five-Year Affirmative Action Plan (AAP) Internal and External Plan.	23 CFR Part 230.311	Submit Annual Updates by December 31	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Prepare and submit annual updates to FHWA.
						<b>FHWA Action:</b> Review and approve. (21 business days).
State DOT Employment Statistical Data (EEO-4)	23 CFR, Subpart C, Appendix A	Bi-annually by December 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit data to FHWA.
						<b>FHWA Action:</b> Review and submit to FHWA HQ Civil Rights (5 business days).
Title VI Plan Accomplishments and Next Year's Goals	23 CFR 200.9(b)(10)	Annually by October 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit any new plans to FHWA.
						<b>FHWA Action:</b> Review and, upon approval, submit to FHWA HQ for information. (21 business days).
Report on Supportive Services (OJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit quarterly report on supportive services activities.
						<b>FHWA Action:</b> Review and comment.
DBE and OJT Supportive Service requests	23 CFR 230.113 & 23 CFR 230.204	Annually upon notification by FHWA HQ Civil	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit a work statement for review.

### Civil Rights Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
		Rights				<b>FHWA Action:</b> Receive requests and forward to FHWA HQ for approval and funding.
On-the-job Training Goals and accomplishments	23 CFR 230.111(b)	Annually by January 30	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Develop and submit to FHWA for review.
						<b>FHWA Action:</b> Review and submit to FHWA HQ (5 business days).
Return of any unused discretionary grant program funding	23 CFR 230.117(2)	Annually	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division Director, Finance Division	<b>TDOT Action:</b> De-obligate unused funds.
						<b>FHWA Action:</b> Work with FHWA HQ to ensure de-obligation.
Annual Federal Projected Awards Reports - Historically Black Colleges & Universities/Tribal Colleges & Universities/Hispanic Serving Institutes, American Indian Alaskan Native, Asian Pacific & American Islander	Presidential Executive Orders: 13230, 13256,13270, 13361, 13515	Annually upon notification by FHWA HQ Civil Rights	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Collaborate with FHWA in preparation of report.
						<b>FHWA Action:</b> Review, augment and submit to FHWA HQ to include in compiled national report for DOCR.
Contractor Compliance Review Reports	23 CFR Part 230.413	Upon completion of review	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Conducts planned review of contractors and submits report of compliance status to FHWA.

### Civil Rights Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Submit concurrence letter to TDOT after review. (15 business days).
DBE Program Revisions	49 CFR 26.21(b)(2)	Updated as needed	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit to FHWA significant program changes in DBE program plan.
						<b>FHWA Action:</b> Review, approve and submit to FHWA HQ for information.
State DBE Program Goals	49 CFR 26.45(f)(1)	Triennially by August 1	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit goal methodology every three years.
						<b>FHWA Action:</b> Review goal methodology and forward explanation of methodology to Legal Counsel for legal sufficiency review. Submit approved goal to FHWA HQ for information.
Annual Analysis and Corrective Action Plan (if necessary)	49 CFR 26.47(c)	Annually by December 31 (as necessary)	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division Director, Construction Division	<b>TDOT Action:</b> Review, analyze and establish an improved method to reach the following fiscal years goal. Send to FHWA.
						<b>FHWA Action:</b> Approve and send copy to FHWA HQ.
Return of unexpended funds used for Summer Transportation Institutes	23 CFR 230.117(2)	Annually by August 30; however, State procurement rules may govern	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> De-obligate unused funds.
						<b>FHWA Action:</b> Work with FHWA HQ to ensure de-obligation.
National Summer Transportation Institute	23 USC 140(b)	Annually upon notification by	Office of Civil Rights	Civil Rights Specialist	Director, Civil Rights Division	<b>TDOT Action:</b> Submit proposals to initiate host sites for STIs.

Civil Rights Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
(NSTI) Proposals (SOWs)		FHWA HQ Civil Rights				<b>FHWA Action:</b> Notify TDOT to submit proposals for approval to FHWA HQ for potential funding.
Prepare / Review NSTI Report (questionnaire)	23 USC 140(b)	Annually by October 15	Office of Civil Rights	Civil Rights Specialist	Director of Civil Rights	<b>TDOT Action:</b> Complete NSTI report.
						<b>FHWA Action:</b> Provide report to FHWA HQ.

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Statewide Planning and Research (SPR) (Part 1 and 2) Work Program	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Bi-annually by June 30	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare and submit Work Program to FHWA by June 30 <sup>th</sup> on odd numbered years.
						<b>FHWA Action:</b> Review and approve (20 business days).
Performance and Expenditure Reports for SPR Research Work Programs	23 CFR 420.117(b)	No less frequently than annually 90 Days after end of period and no more frequently than quarterly	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Develop reports and send to FHWA for review.
						<b>FHWA Action:</b> Review.
Management Process and Project Selection Procedures and	23 CFR 420.209(b)	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Develop and revise process, as necessary, and send to FHWA.

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Certification for Research, Development & Technology Transfer Program and Revisions to Process						<b>FHWA Action:</b> Review and approve.
State's Management Process of the Research, Development & Technology Transfer Program	23 CFR 420.209(d)	Periodic	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Participate in and provide information for review.
						<b>FHWA Action:</b> Review and approve.
SPR research reports	23 CFR 420.117	Prior to publication unless prior approval is waved	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review reports and send to FHWA for approval.
						<b>FHWA Action:</b> Approve, unless FHWA waives requirement.
State's Distribution of Planning Funds Formula - Allocation Formulas for PL Funds	23 CFR 420.109(a), 23 USC 104(d)(2)(A)(i)	When Revised	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Develop formula in consultation with MPOs and send to FHWA for approval.
						<b>FHWA Action:</b> Review and approve.
State Participation Process for Non-Metropolitan Local Officials	23 CFR 450.210(b)	As needed or as revised by TDOT	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and solicit comments on the process at least every 5 years; submit to FHWA.
						<b>FHWA Action:</b> Receive for informational purposes.
State Public Involvement Process	23 CFR 450.210(a)	As needed or as revised by State	Office of Planning, Environment & Realty	Team Leader, Planning and Program Management	Director, Community Relations Division	<b>TDOT Action:</b> Revise and update as needed. Submit to FHWA for review and informational purposes.



Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA and FTA Action:</b> Review and comment (20 business days).
Finding of Consistency of Planning Process with Section 134 and 135	23 USC 135(g)(8); 23 CFR 450.218(b)	Submitted with proposed STIP or STIP amendments	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Program Development Division	<b>TDOT Action:</b> Submit Certification to FHWA for review as part of STIP.
						<b>FHWA Action:</b> Issue a Joint Finding with FTA concurrent with STIP approval (20 business days).
Statewide Transportation Plan	23 CFR 450.214	Revise and update, as appropriate	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Revise and update as needed; submit to FHWA.
						<b>FHWA Action:</b> Review and comment (30 business days).
Statewide Transportation Improvement Program (STIP)	23 CFR 450.216, 23 CFR 450.218(a) & (c), 23 USC 135(g)(7)	At least every 4 years	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Program Development Division	<b>TDOT Action:</b> Prepare and submit to FHWA/FTA.
						<b>FHWA Action:</b> Review and provide joint Approval Letter with FTA (20 business days).
STIP Amendments	23 CFR 450.218(a) & (c)	As submitted by State	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Program Development Division	<b>TDOT Action:</b> Certify that federal requirements have been met and forward to FHWA and FTA.
						<b>FHWA Action:</b> Approve jointly with FTA (10 business days). (TN FHWA/Region 4 FTA MOA allows approval by relevant agency based on project type).

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Tribal Government Consultation Process	23 CFR 450.210(c)	As needed or as revised by State	Office of Federal Lands Highway	Environmental Program Engineer	Director, Environment and Planning Division	<b>TDOT Action:</b> Consult in coordination with FHWA assistance, as needed.
						<b>FHWA Action:</b> Facilitate reviews and coordination with Tribal Government.
National Network Modifications	23 CFR 658.11	As needed	Office of Operations	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Develop and submit to FHWA.
						<b>FHWA Action:</b> Review and make recommendation to FHWA HQ.
Highway Facility Relinquishment	23 CFR 620.203	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist and Area Engineer	Director, Long Range Planning Division	<b>TDOT Action:</b> Submit documentation to FHWA that TDOT intends to relinquish facilities.
						<b>FHWA Action:</b> Review request in consultation with Area Engineer for concurrence prior to approvals.
Annual Listing of Obligated Projects	23 CFR 450.332(a)	Annually, no later than 90 days after September 30	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Program Development Division	<b>TDOT Action:</b> Cooperatively develop from information provided by TDOT Programming to MPOs.
						<b>FHWA Action:</b> Receive for informational purposes.
Certification in Transportation Management Areas (TMAs)	23 CFR 450.334(b), 23 USC 134(k)(5)	Every 4 years	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Participate in the Certification Process.
						<b>FHWA Action:</b> Certify jointly with FTA (TN FHWA/Region 4 FTA MOA allows FHWA single signature with FTA support).
Congestion Management Process (CMP) in TMAs	23 CFR 450.320	Established and revised as needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs ; review CMP (30 business days).

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Review and comment (20 business days).
Metropolitan Planning Area Boundaries (Establishment and Changes)	23 CFR 450.312	Established and revised as needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; review boundary revisions; forward to Governor for approval. Forward to FHWA.
						<b>FHWA Action:</b> Receive for informational purposes.
Metropolitan Transportation Plan (MTP) in Attainment Areas (and Updates)	23 CFR 450.322	Every 5 years	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; review MTP (30 days); forward to FHWA & FTA for review.
						<b>FHWA Action:</b> Review and comment (20 business days).
Metropolitan Transportation Planning Organizations (MPO) Designation and Re-designation	23 CFR 450.310	As needed/revised by MPO/State	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; forward recommendation to Governor.
						<b>FHWA Action:</b> Receive for informational purposes.
Metropolitan Planning Agreements (MPA) for Attainment or Entire Nonattainment Area	23 CFR 450.314(a)	When Completed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Participate in development of agreement between MPO, TDOT, and Transit Operator.
						<b>FHWA Action:</b> Receive for informational purposes.
MPA for areas that do not include the entire nonattainment or maintenance area	23 CFR 450.314(b), 23 USC 109(j)	When Completed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Participate in development of agreement between MPO, TDOT, and Transit Operator.
						<b>FHWA Action:</b> Receive for informational purposes.

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
State and MPO Self-certification that Planning Process is in accordance with applicable requirements in Metropolitan Planning Areas	23 CFR 450.334 (a), 23 CFR 450.218(a)	At least every four year, concurrent with the STIP/TIP approval	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and recommend approval when TIPs submitted to FHWA.
						<b>FHWA Action:</b> Review for regulatory compliance.
MTP in Non-attainment and Maintenance Areas (and Updates)	23 CFR 450.322	Every 4 years	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; review MTP (30 days). Forward to FHWA & FTA for review.
						<b>FHWA Action:</b> Review and issue finding (30 business days).
MTP Amendments	23 CFR 450.322(c)	As Needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Send amendments to FHWA.
						<b>FHWA Action:</b> Receive updated or revised MTP for informational purposes.
MPO Public Participation Procedures / Plans	23 CFR 450.316(a)	As needed or revised by MPOs	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; review Participation Plan (30 days). Forward to FHWA.
						<b>FHWA Action:</b> Review and comment (20 business days).
Transportation Improvement Program (TIP)	23 CFR 450.324(b); 23 CFR 450.328(a), 23 USC 134(j)(1)(D)	At least every 4 years	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division and Director, Program Development Division	<b>TDOT Action:</b> Provide guidance to MPOs; review TIP (30 days); forward to FHWA/FTA for approval.
						<b>FHWA Action:</b> Review. FHWA/FTA approval of the TIP is through the STIP approval process. (20 business days).

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
TIP Amendments	23 CFR 450.324(a); 23 CFR 450.328(b)	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Program Development Division	<p><b>TDOT Action:</b> Review and submit to FHWA/FTA for approval.</p> <p><b>FHWA Action:</b> Approve jointly with FTA (10 business days) (TN FHWA/Region 4 FTA MOA allows approval by relevant agency based on project type).</p>
MPO Unified Planning Work Programs (UPWP)	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Final drafts submitted to FHWA by 8/31	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<p><b>TDOT Action:</b> Provide guidance to MPOs; review UPWP (30 business days). Forward to FHWA &amp; FTA by 8/31.</p> <p><b>FHWA Action:</b> Approve jointly with FTA (20 business days) (TN FHWA/Region 4 FTA MOA allows FHWA single signature with FTA support).</p>
UPWP Revisions and Amendments	23 CFR 420.115	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<p><b>TDOT Action:</b> Review and comment on draft documents; send final draft to FHWA.</p> <p><b>FHWA Action:</b> FHWA or FTA review/approval (10 business days) based on project type.</p>
UPWP Performance and Expenditure Reports	23 CFR 420.117(b)	Reports are due 90 days after the end of the reporting period for annual and final reports and no later	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<p><b>TDOT Action:</b> Review and reconcile MPO invoices and progress reports.</p>

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
		than 30 days after the end of the reporting period for other reports.				<b>FHWA Action:</b> Receive for informational purposes.
Report Before Publication	23 CFR 420.117(e)	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare reports documenting performance of the use of FHWA planning and research funds with MPOs and send to FHWA.
						<b>FHWA Action:</b> Review reports. FHWA DA may waive requirement.
Congestion Management Plans	23 CFR 450.320	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare and update.
						<b>FHWA Action:</b> Review and comment (20 business days).
Congestion Mitigation and Air Quality Improvement Program (CMAQ) Annual Report	CMAQ Interim Program Guidance Under MAP-21 November 12, 2013 and 23 USC 149(i)	Annually by March 1	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare report by the date requested and submit to FHWA.
						<b>FHWA Action:</b> Review and approve online CMAQ database in UPACS. Subsequent FHWA HQ review and approval.
Air Quality Conformity Determination on MTP in Non-attainment and Maintenance Areas	23 CFR 450.322(l); 40 CFR part 93	With MTP updates at least every 4 years and as needed on amendments	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; participate in Interagency Consultation Process; forward to FHWA/FTA/EPA for Conformity Determination.

**Planning Program Action Responsibility**

<b>Activity</b>	<b>Authority</b>	<b>Frequency / Due</b>	<b>FHWA HQ Program Office</b>	<b>FHWA Division Responsible Program Contact</b>	<b>TDOT Responsible Program Contact</b>	<b>Remarks</b>
						<b>FHWA Action:</b> Issue finding in coordination with Federal and other partners' review (30 business days).
Air Quality Conformity Determination on TIP in Non-attainment and Maintenance Areas	23 CFR 450.324(a); 23 CFR 450.326(a); 23 CFR 450.328(b); 40 CFR Part 93	With TIP submittal at least every four years and as needed on TIP amendments	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to MPOs; participate in Interagency Consultation Process; forward to FHWA/FTA/EPA for Conformity Determination.
						<b>FHWA Action:</b> Issue finding or redetermination in coordination with Federal and other partners' review. (30 business days).
CMAQ Projects	23 USC 149; 23 USC 104(b)(2)	As needed	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Solicit, select and coordinate project implementation.
						<b>FHWA Action:</b> Review projects for eligibility. Authorize projects in FMIS.
Revision of Functional Classification of highways/streets	23 CFR 470.105(b)	As needed or as revised by State	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and forward to FHWA for approval.
						<b>FHWA Action:</b> Review and approve (10 business days).

### Planning Program Action Responsibility

Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Annual Traffic Reports	Traffic Monitoring Analysis System and Traffic Monitoring Guide reporting	When Published	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare reports and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
Highway Statistics Reports	Guide to Reporting Highway Statistics		Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare reports and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
Motor Fuels Report	A Guide to Reporting Highway Statistics, Chapter 2	Due 60 days after end of each reporting month	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare report and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
Vehicles and Drivers (561, 562, 566, and 571)	A Guide to Reporting Highway Statistics, Chapters 3, 4, 5, and 6	April 1	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare data and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
Finance (531, 532, 541, 542, and 543 (optional))	A Guide to Reporting Highway Statistics, Chapters 8 and 9	April 1	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare data and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
State DOT / Toll Authority Audits and Published Annual Reports and Form 539 (optional)	A Guide to Reporting Highway Statistics, Chapter 10	When Published	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare data and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.



**Planning Program Action Responsibility**

<b>Activity</b>	<b>Authority</b>	<b>Frequency / Due</b>	<b>FHWA HQ Program Office</b>	<b>FHWA Division Responsible Program Contact</b>	<b>TDOT Responsible Program Contact</b>	<b>Remarks</b>
Finance (536)	A Guide to Reporting Highway Statistics, Chapter 11	Biennially for odd-numbered years by September 30	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare data and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
Finance (534)	A Guide to Reporting Highway Statistics, Chapter 12	Annually for State, Biennially for local by June 15	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare data and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for review prior to TDOT submittal to FHWA HQ.
State DOT Budgets and Published Annual Reports	A Guide to Reporting Highway Statistics, Chapter 13	When Published	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare reports and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Receive for informational purposes.
Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Annually by June 30	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Participate in review.
						<b>FHWA Action:</b> Conduct review and submit final report to FHWA HQ.
Review of Biennial - Toll Facilities in the United States	23 CFR 450.105(b) HPMS Field Manual	Biennially by June 15 - Odd Years	Office of Highway Policy information	Realty Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare data and send to FHWA prior to submitting to FHWA HQ.
						<b>FHWA Action:</b> Send to FHWA HQ.
Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	June 15	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Submit as part of Annual HPMS submittal.
						<b>FHWA Action:</b> Conduct review as part of the HPMS annual review; submit final HPMS annual review report to FHWA HQ.

**Planning Program Action Responsibility**

<b>Activity</b>	<b>Authority</b>	<b>Frequency / Due</b>	<b>FHWA HQ Program Office</b>	<b>FHWA Division Responsible Program Contact</b>	<b>TDOT Responsible Program Contact</b>	<b>Remarks</b>
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669.7	Annually by July 1	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> None. <b>TN Dept. of Revenue Action:</b> Certify, as Governor’s designee, that TN is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs.
						<b>FHWA Action:</b> Receive and review TN’s annual certification and submit to FHWA HQ.
Permanent ATR Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Office of Highway Policy information	Planning and Program Management	Director, Long Range Planning Division	<b>TDOT Action:</b> Submit data within 20 days of the close of the month.
						<b>FHWA Action:</b> Receive for information purposes.
Continuous Automatic Vehicle Classifier Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Office of Highway Policy information	Planning and Program Management	Director, Long Range Planning Division	<b>TDOT Action:</b> Send up to one week of data per quarter.
						<b>FHWA Action:</b> Receive for informational purposes.
Weight and Vehicle Classification Data Collected at Weigh-in-motion sites	Heavy Vehicle Travel Information System Field Manual	June 15	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Submit WIM data collected at non-continuous sites during a year by June 15 of the following year. If continuous WIM data are available, then up to one week of data per quarter.
						<b>FHWA Action:</b> Review and comment.
Highway Performance Monitoring System (HPMS) Data Submission	23 CFR 1.5, 23 CFR 420.105(b), HPMS Field Manual	Submission by June 15; Review by December 15	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Prepare and submit review to FHWA and FHWA HQ.
						<b>FHWA Action:</b> Review and comment.

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Annual HPMS Field Review Report	HPMS Field Review Guidelines (June 2013)	Annually by Annually by December 15	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Participate in report development; receive copy of final report for informational purposes.
						<b>FHWA Action:</b> Draft and submit HPMS Field Review Report to FHWA HQ.
Interstate Additions & Revisions	23 USC 103(c)(1)(D), 23 CFR 470.111, 23CFR 470.115 (a)	As requested by State	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Propose, review and forward to AASHTO for review. Forward to FHWA for approval.
						<b>FHWA Action:</b> Review and make recommendation to FHWA HQ. FHWA Administrator review and approval.
National Highway System (NHS) Additions and Revisions	23 USC 103(b)(3), 23 CFR 470.113 and 470.115(a)	As requested by State	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and forward to FHWA for approval.
						<b>FHWA Action:</b> Review and make recommendation to FHWA HQ. FHWA Office Director review and approval.
Certified Public Road Mileage	23 CFR 460.3(b)	Annually by June 1	Office of Highway Policy information	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Approved by Governor or designee. Submit to FHWA.
						<b>FHWA Action:</b> Review and forward to FHWA HQ with Division review/concurrence.
Federal-Aid Urban Area Boundaries	23 CFR 470.105 (a), 23 USC 101(a)(33); FHWA Functional Class Guidelines (2013)	As needed or as revised by State	Office of Planning, Environment & Realty	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Provide guidance to all Urban Areas; review boundary submissions and forward changes to FHWA.

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Review and approve (10 business days).
Projects of National and Regional Significance	23 USC 101 notes; SAFETEA-LU Section 1301	As needed	Office of Planning, Environment & Realty	Planning and Program Management	Director, Long Range Planning Division	<b>TDOT Action:</b> Submit recommended projects of National and Regional Significance to FHWA HQ, as requested.
						<b>FHWA Action:</b> None.
Review Designation and Re-designation of Primary Freight Network	23 USC 167(d)	One year after enactment of MAP-21 and every ten years thereafter	Office of Operations	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and comment.
						<b>FHWA Action:</b> Review and comment.
Development and Update of National Freight Strategic Plan	23 USC 167(f)	Three years after enactment of MAP-21 and every five years thereafter	Office of Operations	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and comment.
						<b>FHWA Action:</b> Review and submit to FHWA HQ.
Freight Transportation Conditions and Performance Report	23 USC 167(g)	Two years after enactment of MAP-21 and every two years thereafter	Office of Operations	Planning & Air Quality Specialist	Director, Long Range Planning Division	<b>TDOT Action:</b> Review and comment.
						<b>FHWA Action:</b> Review and submit to FHWA HQ.
Vehicle Size & Weight enforcement plan	23 CFR 657.11, 23 USC 127	Annually by Oct 1	Office of Operations	Planning & Air Quality Specialist	Director, Central Services Division	<b>TDOT Action:</b> None. <b>TN Highway Patrol:</b> Submit to FHWA.
						<b>FHWA Action:</b> Review and approve. Share with TDOT for informational purposes.

Planning Program Action Responsibility						
Activity	Authority	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Vehicle Size & Weight enforcement certification	23 CFR 657.13, 23 USC 141	Annually by Jan 1	Office of Operations	Planning & Air Quality Specialist	Director, Central Services Division	<b>TDOT Action:</b> None. <b>TN Highway Patrol:</b> Submit to FHWA.
						<b>FHWA Action:</b> Review and approve. Share with TDOT for informational purposes.

Environment Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Public Involvement Program Procedures	23 CFR 771.111(h), 23 USC 128	As needed	Office of Planning, Environment & Realty	Team Leader, Planning and Program Management	Director, Community Relations Division	<b>TDOT Action:</b> Prepare and submit procedures to FHWA.
						<b>FHWA Action:</b> Review and approve (20 business days).
Noise Policies	23 CFR 772.7(b), 772.9, and 772.13, 23 USC 109(i)	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop and update, as needed.
						<b>FHWA Action:</b> Approve TDOT noise abatement policy (20 business days).
Programmatic Categorical Exclusions (PCEs) and c-list Categorical Exclusions (CEs)	23 CFR 771.117(c) and PCE Agreement	Annual Review	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop and review.
						<b>FHWA Action:</b> Perform annual review of PCE and c-list CE documents.

## Environment Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
d-list CEs	23 CFR 771.117(d)	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review, and submit to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (10 business days).
EA	23 CFR 771.119	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (30 business days).
Draft Finding of No Significant Impact (FONSI)	23 CFR 771.121	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit recommendation to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (20 business days).
FONSI	23 CFR 771.121	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Revise draft FONSI to address FHWA comments and resubmit to FHWA.
						<b>FHWA Action:</b> Review suggested revisions and comment to TDOT or issue a FONSI (10 business days).
Legal Sufficiency Review of Revised Preliminary DEIS, if review by legal counsel		As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit Preliminary DEIS to FHWA.

## Environment Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
is deemed necessary						<b>FHWA Action:</b> FHWA Legal Counsel review and comment (minimum of 30 business days).
DEIS	23 CFR 771.123	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (20 business days).
Draft FEIS	23 CFR 771.125	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (30 business days).
Legal Sufficiency Review of Revised Draft FEIS		As needed	Office of Chief Counsel	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> None.
						<b>FHWA Action:</b> FHWA Legal Counsel review and comment (minimum of 30 business days).
FEIS	23 CFR 771.125	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (20 business days).
Draft Record of Decision (ROD)	23 CFR 771.127	As needed	Office of Planning, Environment &	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> None.

## Environment Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
			Realty			<b>FHWA Action:</b> Review and comment to TDOT (20 business days).
Legal Sufficiency Review of revised ROD, if review by legal counsel is deemed necessary	23 CFR 771.125(b)	As needed	Office of Chief Counsel	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit to FHWA.
						<b>FHWA Action:</b> FHWA Legal Counsel review and comment (30 business days).
ROD	23 CFR 771.127	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Revise draft ROD to address FHWA comments and submit to FHWA.
						<b>FHWA Action:</b> Review suggested revisions and provide additional comment to TDOT or to issue ROD (10 business days).
Re-evaluations for CE, EA and EIS documents	23 CFR 771.129	As needed	Office of Planning, Environment & Realty	Environmental Program Engineer	Director, Environmental Division	<b>TDOT Action:</b> Develop, review and submit to FHWA.
						<b>FHWA Action:</b> Review and comment to TDOT (20 business days).
Outdoor Advertising Rules, Regulation, and Agreements	23 CFR 750.304, 23 CFR 750.705, 23 USC 131	As needed or submitted by State	Office of Planning, Environment & Realty	Realty Specialist	Director, Environmental Division	<b>TDOT Action:</b> Develop and submit for approval to FHWA.
						<b>FHWA Action:</b> Review and approve (30 business days).
Requests to Exempt Certain Nonconforming	23 CFR 750.503	As needed	Office of Planning, Environment &	Realty Specialist	Director, Environmental Division	<b>TDOT Action:</b> Prepare request and supporting documentation.



Environment Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Signs, Displays, and Devices			Realty			<b>FHWA Action:</b> Review and approve (30 business days).

Right-of-Way & Utilities Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA, 23 CFR 710.201	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, ROW Division	<b>TDOT Action:</b> Submit updates to TDOT ROW Manual as they occur.
						<b>FHWA Action:</b> Review and approve.
Early Acquisitions, Hardship, Protective Buying	23 CFR 710.501 23 CFR 710.503	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, ROW Division	<b>TDOT Action:</b> Develop and submit for approval to FHWA.
						<b>FHWA Action:</b> Review, approve and authorize (10 business days).
Interstate Air Rights, Access Control – Disposal and Changes Transfer	23 CFR 710.405 23 CFR 710.401	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director of Right of Way Division	<b>TDOT Action:</b> For Interstate ROW, develop and submit for approval to FHWA. For all other ROW, develop, review, and approve.
						<b>FHWA Action:</b> Review and approve for all Interstate ROW (10 business days).
Leases/joint use agreements	23 CFR 407	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, Right-of-Way Division	<b>TDOT Action:</b> For Interstate ROW, develop and submit for approval to FHWA. For all other ROW, develop, review, and approve.

## Right-of-Way & Utilities Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Review and approve for all Interstate ROW in (10 business days).
Request for Federal Land Transfer	23 CFR 710.601	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, Right-of-Way Division	<p><b>TDOT Action:</b> Make application to the land owning agency if the land owning agency has its own authority for granting interests in land.</p> <p>Otherwise, submit a formal request for transfer; provide plans and a letter of legal sufficiency by the TDOT Legal Office to the FHWA.</p> <p><b>FHWA Action:</b> Review with FHWA Legal Counsel. Once completed, DA/ADA sign notarized transfer.</p>
ROW Disposal Authorization Request	23 CFR 710.409	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, Right-of-Way Division	<p><b>TDOT Action:</b> For all Interstate ROW, develop and submit for approval to FHWA. For all other ROW, develop, review, and approve.</p> <p><b>FHWA Action:</b> Review and approve for all Interstate ROW (10 business days).</p>
Exception to Charging Fair Market Value	23 CFR 710.403 and 23 CFR 710.409	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, Right-of-Way Division	<p><b>TDOT Action:</b> Develop and submit to FHWA for approval.</p> <p><b>FHWA Action:</b> Review and approve (10 business days).</p>
Uniform Act Waivers and Waivers from Availability of Comparable Replacement Dwelling before Displacement	49 CFR 24.7, 49 CFR 24.204(b)	As needed	Office of Planning, Environment & Realty	Realty Specialist	Director, Right-of-Way Division	<p><b>TDOT Action:</b> Develop and submit for approval to FHWA.</p> <p><b>FHWA Action:</b> Review and approve (20 business days).</p>

Right-of-Way & Utilities Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Utility Accommodation Policy	23 CFR 645.215, 23 USC 109(l), 23 USC 123	As needed	Office of Infrastructure	Area Engineer Designated as Utility Coordinator	Director, Right-of-Way Division	<b>TDOT Action:</b> Develop and submit for approval to FHWA.
						<b>FHWA Action:</b> Review and provide TDOT with remarks/approval (20 business days).
Utility Agreement Alternate Procedure	23 CFR 645.119	As needed	Office of Infrastructure	Area Engineer Designated as Utility Coordinator	Director, Right-of-Way Division	<b>TDOT Action:</b> Develop and submit for approval to FHWA.
						<b>FHWA Action:</b> Review and provide TDOT with remarks/approval (20 business days).
Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Office of Planning, Environment & Realty	Area Engineer Designated as Utility Coordinator	Director, Right-of-Way Division	<b>TDOT Action:</b> Develop and submit for approval to FHWA.
						<b>FHWA Action:</b> Review and provide TDOT with remarks/approval (20 business days).

Design (Highway & Pavement) and Construction Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
State 3R Program	23 CFR 625.4(a)(3), 23 USC 109(n)	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Design Division	<b>TDOT Action:</b> Develop and submit Design Guidelines for review to FHWA.

## Design (Highway & Pavement) and Construction Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Review and comment/concur (20 business days).
Design Exception Policy for NHS System	23 CFR 625.3	As needed	Office of Infrastructure	Team Leader, Field Operations	Director, Design Division	<b>TDOT Action:</b> Develop and submit for review to FHWA.
						<b>FHWA Action:</b> Review and comment/concur (20 business days).
Design Standards (National Highway System, including Interstate) Adoption	23 CFR 625, 23 USC 109(b), 23 USC 109(c)(2), 23 USC 109(o)	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Design Division	<b>TDOT Action:</b> TDOT submits design policies and standards for review.
						<b>FHWA Action:</b> Review policies/standards for conformance to AASHTO Standards.
Interstate Access Requests	23 USC 111, 23 CFR 710, 74 FR 43743-43746 (Aug. 27, 2009)	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Strategic Transportation Investments Division	<b>TDOT Action:</b> Develop and submit for review to FHWA.
						<b>FHWA Action:</b> Review and approve with concurrence from HQ on more complex access requests.
Interstate Access Policy	23 CFR 470.111, 470.115	As needed	Office of Infrastructure	Team Leader, Field Operations	Director, Strategic Transportation Investments Division	<b>TDOT Action:</b> Develop and submit for review to FHWA.
						<b>FHWA Action:</b> Review and comment/concur (20 business days).
Standard Drawings/Details	23 CFR 625.4	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Design Division and Director, Structures Division	<b>TDOT Action:</b> Develop and submit for review to FHWA.
						<b>FHWA Action:</b> Review and comment/concur (20 business days).
Value Engineering Policy and Procedures	23 CFR 627.1(b)&(c), 23 CFR 627.7 FHWA Order 1311.1B	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Design Division	<b>TDOT Action:</b> Prepare and submit to FHWA for review.
						<b>FHWA Action:</b> Review.

**Design (Highway & Pavement) and Construction Program Action Responsibility**

<b>Activity</b>	<b>Reference</b>	<b>Frequency / Due</b>	<b>FHWA HQ Program Office</b>	<b>FHWA Division Responsible Program Contact</b>	<b>TDOT Responsible Program Contact</b>	<b>Remarks</b>
Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annually	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Design Division and Director, Construction Divisions	<b>TDOT Action:</b> Develop and submit for review to FHWA. <b>FHWA Action:</b> Submit to FHWA HQ for publication.
Contracting Procedures for Consultant Selection and Administration	23 CFR 172.5 & 172.9	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Assistant Chief Engineer for Design	<b>TDOT Action:</b> Develop and submit for review to FHWA. <b>FHWA Action:</b> Review and comment/approve (20 business days).
Pavement Design Guide and Policy	23 CFR 626.3	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director, Design Division	<b>TDOT Action:</b> Develop and submit for review to FHWA. <b>FHWA Action:</b> Review and comment/concur (20 business days).
Preliminary plans of Major and Unusual Bridges on the Interstate Highway System	(M1100.A)	As needed	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Provide preliminary bridge plans for Interstate projects to FHWA for review/approval. <b>FHWA Action:</b> Send to FHWA HQ Director of HIBT for approval.
Local Public Agency (LPA) Oversight	2 CFR 200.331;; 23 USC 106(g)(4)	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Program Development Division	<b>TDOT Action:</b> Ensure that LPAs are aware of all the applicable FAHP requirements; ensure monitoring and oversight to assure compliance with requirements. <b>FHWA Action:</b> Review and concur.
Sell, Lease or Otherwise Dispose of a Ferry Purchased with	23 USC 129 (c)(6)	As needed	Office of Infrastructure	Team Leader, Field Operations	Director, Maintenance Division	<b>TDOT Action:</b> Provide notification to FHWA of proposed actions and request concurrence.

## Design (Highway & Pavement) and Construction Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Federal-aid Funds						<b>FHWA Action:</b> Review and submit to FHWA HQ Program Administration for Administrator approval.
Project Management Plan (Major Projects)	23 U.S.C. 106(h)(2)	Prior to first federal authorization of construction funds for a Major Project	Office of Innovative Program Delivery	Area Engineer with Assigned Program Responsibility	Regional Project Development Director	<b>TDOT Action:</b> Prepare and submit Project Management Plan.
						<b>FHWA Action:</b> Provide approval after receiving concurrence from FHWA HQ.
Financial Plan (Major Projects)	23 U.S.C. 106(h)(3)	Prior to first federal authorization of construction funds for a Major Project and then annually.	Office of Innovative Program Delivery	Area Engineer with Assigned Program Responsibility	Regional Project Development Director	<b>TDOT Action:</b> Prepare and submit annual Financial Plans.
						<b>FHWA Action:</b> Provide approval after receiving concurrence from FHWA HQ.
Financial Plan (Other Projects defined as projects with an estimated total cost of \$100 million or more that have not been designated as Major Projects)	23 U.S.C. 106(i)	Prior to first federal authorization of construction funds for an Other Project and then annually.	Office of Innovative Program Delivery	Area Engineer with Assigned Program Responsibility	Director, Program Development Division and Regional Project Development Director	<b>TDOT Action:</b> Prepare and submit annual Financial Plans to FHWA, only upon request.
						<b>FHWA Action:</b> Review and comment (10 business days).
Liquidated Damages Rate	23 CFR 635.127	Every 2 years	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Construction Division	<b>TDOT Action:</b> Submit for approval to FHWA.
						<b>FHWA Action:</b> Review and concur (10 business days).
State Standard Specifications	23 CFR 625.3	As needed	Office of Infrastructure	Area Engineer with Assigned Program Responsibility	Director, Construction Division	<b>TDOT Action:</b> Submit for approval to FHWA.
						<b>FHWA Action:</b> Review and approve (20 business days).

Structures (Bridge and Tunnel) Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Bridge and Tunnel Inspection Program (State, County and Cities)	23 CFR 650 Subpart C/MAP-21 provisions	As required	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Manage inspection program to meet regulations. Conduct inspections for all non-Federal bridges in TN. Conduct tunnel inspections when the Federal program is implemented.
						<b>FHWA Action:</b> Conduct review annually.
Plans of Corrective Action (PCA) established to address NBIS compliance issues review	23 CFR 650, 23 USC 144	Annually	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> When applicable, submit PCA to FHWA for approval. Complete PCA within established timeframe.
						<b>FHWA Action:</b> Approve PCA. Ensure PCA is completed as proposed; report to FHWA HQ.
NBI Data submittal	23 CFR 650 Subpart C, Annual Memo from HQ, 23 USC 144	Annually by April 1	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Update inventory and send data to FHWA annually by April 1.
						<b>FHWA Action:</b> Process data and furnish error listing. Review error listing and resolve differences.
Structurally deficient bridge construction Unit Cost submittal review	23 USC 144	Annually by April 1	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Submit unit cost data.
						<b>FHWA Action:</b> Ensure submitted data meets requirements and submit to FHWA HQ.
Section 9 of the Rivers and Harbors Act Submittals (Bridge Permits) review	23 CFR 650 Subpart H; 33 CFR 114 & 115	As needed	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Coordinate with USCG on all related actions for all navigable river crossings. Provide preliminary layout to USCG for approval.

### Structures (Bridge and Tunnel) Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
						<b>FHWA Action:</b> Ensure appropriate coordination provides the USCG opportunity to meet their needs.
Reduction of expenditures for off-system bridges approval	23 USC 133(g)(2)(B)	As needed	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> If appropriate, make request for reduction of required expenditures.
						<b>FHWA Action:</b> FHWA Administrator may reduce the requirement for expenditures for off-system bridges if the FHWA Administrator determines that the State has inadequate needs to justify the expenditure.
Bridge Construction, Geotechnical, and Hydraulics Review	23 CFR 650	As needed	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Participate in review.
						<b>FHWA Action:</b> Review program and request assistance in review of program.
Bridges of Opportunity		Annually	Office of Infrastructure	Team Leader, Technical Programs	Director, Structures Division	<b>TDOT Action:</b> Report progress.
						<b>FHWA Action:</b> Monitor and report to FHWA HQ.

### Traffic Operations Program and Intelligent Transportation Systems Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Operations Efficiency Index	23 CFR 500	Quarterly	Office of Operations	Operations Program Manager	Director, Traffic Operations Division	<b>TDOT Action:</b> Provide information to FHWA (within 10 days of request).
						<b>FHWA Action:</b> Complete and submit to FHWA HQ by due date.



## Traffic Operations Program and Intelligent Transportation Systems Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Statewide and Regional ITS Architecture Updates	23 CFR 940	4 Year Cycle	Office of Operations	Operations Program Manager	Director, Traffic Operations Division	<b>TDOT Action:</b> Prepare and approve Statewide ITS Architecture; approve Regional ITS Architectures.
						<b>FHWA Action:</b> Review and approve (20 business days).
Systems Engineering Analysis – High Risk ITS projects only	23 CFR 940.11	On all ITS Projects	Office of Operations	Operations Program Manager	Director, Traffic Operations Division	<b>TDOT Action:</b> Prepare and approve for State-managed projects; review and approve for locally-managed projects.
						<b>FHWA Action:</b> Review and approve SEAs for High Risk ITS projects.
HOV Operations Report for Tolloed Use and Low-Emission and Energy-Efficient Vehicle Use	23 USC 166(d)	Annually	Office of Operations	Congestion & Traffic Operations Engineer	Director, Traffic Operations Division	<b>TDOT Action:</b> Prepare and approve.
						<b>FHWA Action:</b> Review and submit to FHWA HQ.
State-Prepared Manual on Uniform Traffic Control Devices - State Traffic Control Manuals & Supplements	23 CFR 655.603, 23 USC 109(d)	As needed	Office of Operations	Congestion & Traffic Operations Engineer	Director, Traffic Operations Division	<b>TDOT Action:</b> Prepare and submit to FHWA.
						<b>FHWA Action:</b> Review and approve.
Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually by July 1	Office of Operations	Operations Program Manager	Director, Traffic Operations Division	<b>TDOT Action:</b> Facilitate and submit survey results to FHWA.
						<b>FHWA Action:</b> Complete with partners and forward to FHWA HQ.
Work Zone Significant Project Determination	23 CFR 630.1010	As needed	Office of Operations	Area Engineer with Assigned Program Responsibility	Director, Design Division	<b>TDOT Action:</b> Prepare and submit.
						<b>FHWA Action:</b> Review.
Exceptions to Work Zone Procedures for	23 CFR 630.1010	As needed	Office of Operations	Congestion & Traffic Operations	Director, Design Division	<b>TDOT Action:</b> Prepare and submit to FHWA.

### Traffic Operations Program and Intelligent Transportation Systems Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Interstate Projects				Engineer/Area Engineer		<b>FHWA Action:</b> Review and approve.
Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals	Office of Operations	Congestion & Traffic Operations Engineer	Director, Design Division and Director, Traffic Operations Division	<b>TDOT Action:</b> Prepare and submit. <b>FHWA Action:</b> Review and concur.
Work Zone Safety and Mobility Procedures Process Review	23 CFR 630.1008, 23 USC 109(e)(2), 23 USC 112(g)	Every 2 years	Office of Operations	Congestion & Traffic Operations Engineer	Director, Traffic Operations Division	<b>TDOT Action:</b> Prepare and submit. <b>FHWA Action:</b> Review and concur.

### Safety Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Strategic Highway Safety Plan (SHSP)	23 USC 148	Review Every 2 Years; update every 5 years	Office of Safety	Safety Engineer	Director, Strategic Transportation Investments Division	<b>TDOT Action:</b> Organize meetings, coordinate update and signing of updated SHSP. <b>FHWA Action:</b> Organize meetings; assists with update of SHSP; deliver guidance.
Highway Safety Improvement Program (HSIP) and Railway-Highway Crossing Program (RHCP) Reports	23 USC 148(h), 23 CFR 924.15	Annually by August 31	Office of Safety	Safety Engineer	Director, Strategic Transportation Investments Division and Director, Multimodal Division	<b>TDOT Action:</b> Submit report via online reporting tool to FHWA. <b>FHWA Action:</b> Approve and submit report, via online reporting tool, to FHWA HQ by September 30.

### Safety Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Transportation Performance Management (TPM) for Safety	23 USC 150, 23 USC 134, 23 USC 135, 23 USC 148(i)	Annually by August 31	Office of Safety	Safety Engineer	Director, Long Range Planning Division	<b>TDOT Action:</b> Use obligation authority equal to the apportionment of the State for the prior year and submit an implementation plan.
						<b>FHWA Action:</b> Review and concur.
Distribution of Penalty Transfer Funds Shift Letter	23 USC 154 and 23 USC 164	Annually by October 1	Office of Safety	Safety Engineer	Director, Programming Development Division	<b>TDOT Action:</b> Submit letter to FHWA outlining which funding sources will be transferred to GHSO prior to October 1.
						<b>FHWA Action:</b> Review & submit letter to FHWA HQ.
Penalty Funds Split Letter	23 USC 154 and 23 USC 164	Annually by December 1	Governor's Highway Safety Office	Safety Engineer	Director, Long Range Planning Division	<b>TDOT Action:</b> Submit letter to FHWA outlining how the funds will be split between GHSO and TDOT prior to December 1.
						<b>FHWA Action:</b> Review & submit letter to FHWA HQ by December 1.
Review Drug Offender Driver's License Suspension Law & Enforcement Certification (Section 159)	23 USC 159, 23 CFR 192.5	Annually by Jan 1	Office of Safety	Safety Engineer	Director, Legal Division	<b>TDOT Action:</b> Submit letter to FHWA before January 1.
						<b>FHWA Action:</b> Review and submit letter to the FHWA HQ by January 1.

**Safety Program Action Responsibility**

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
High Risk Rural Roads (HRRR) Special Rule	23 USC 148(g)(1)	Annually; FHWA Office of Safety will inform the States if the HRRR Special Rule applies for the following FY.	Office of Safety	Safety Engineer	Director, Strategic Transportation Investments Division and Director, Program Development Division	<p><b>TDOT Action:</b> Submit a letter to FHWA that dedicates a portion of HSIP funds towards projects that benefit High Risk Rural Roads; verify in annual HSIP report that HRRR requirements were met.</p>
						<p><b>FHWA Action:</b> Track progress of obligating HRRR funds; ensure that information is included in the HSIP Annual Report.</p>
Older Drivers and Pedestrians Special Rule	23 USC 148 (g)(2)	Annually by August 31	Office of Safety	Safety Engineer	Director, Strategic Transportation Investments Division	<p><b>TDOT Action:</b> Include in the annual HSIP report the calculations performed, verifying whether the Older Driver and Pedestrian Special Rule applies in the State. If the Special Rule applies in a given year, TDOT must include in its subsequent SHSP strategies to address the increases in the fatality and serious injury rates for drivers and pedestrians over the age of 65.</p>
						<p><b>FHWA Action:</b> Review HSIP Report; work with TDOT to include older driver and pedestrian strategies in the SHSP.</p>

## Maintenance and Asset Management Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Adequacy of State's Asset Management Plan determination	23 USC 119(5)	Annually beginning second fiscal year after establishment of the process	Office of Infrastructure	Pavement & Materials Engineer	Director, Maintenance Division	<b>TDOT Action:</b> Develop.
						<b>FHWA Action:</b> Review.
States Process for Development of State Asset Management Plan certification and recertification	23 USC 119(6)	Recertification every four years after establishment of the process	Office of Infrastructure	Pavement & Materials Engineer	Director, Maintenance Division	<b>TDOT Action:</b> Submit.
						<b>FHWA Action:</b> Certify or recertify, as needed.
Reporting on Performance Targets review	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter	Office of Infrastructure	Pavement & Materials Engineer	Director, Maintenance Division	<b>TDOT Action:</b> Develop report.
						<b>FHWA Action:</b> Make significant progress determination.
National Highway System Performance Achievement Plan for Actions to achieve the targets (when State does not achieve or make significant progress toward achieving) review	23 USC 119(7)	Required if State does not achieve targets (or significant progress) for 2 consecutive reports	Office of Infrastructure	Pavement & Materials Engineer	Director, Maintenance Division	<b>TDOT Action:</b> Develop.
						<b>FHWA Action:</b> None.
States and sub-recipient failure to maintain projects - Notice and withholding Federal-aid Funds	23 USC 116(c)	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director, Maintenance Division	<b>TDOT Action:</b> Monitor and report as needed.
						<b>FHWA Action:</b> Review.

### Maintenance and Asset Management Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Eligible Preventive Maintenance Activity - Cost-Effective Means of Extending Useful Life Determination	23 USC 116(e)	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director of Maintenance	<b>TDOT Action:</b> Submit changes to Standard Operating Guidelines, Pavement Management Program to FHWA for approval.
						<b>FHWA Action:</b> Review and approve.

### Materials Acceptance Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Quality Assurance Program	23 CFR 637.205	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director, Materials and Tests Division	<b>TDOT Action:</b> As needed, revise materials testing and construction quality assurance/acceptance program Programmatic Agreements and send to FHWA.
						<b>FHWA Action:</b> Review and approve following Standard Operating Procedures (SOPs): Schedule of Materials Control (SOP 1-1), Qualified Technician Program (SOP 1-3), Qualified Laboratory Program (SOP 1-4), and Independent Assurance Program (SOP 1-2).

Materials Acceptance Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Central Laboratory accredited by AASHTO Accreditation Program or FHWA approved comparable program assurance	23 CFR 637.209	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director, Materials and Tests Division	<b>TDOT Action:</b> Administer, with Programmatic Agreement by FHWA, as part of materials testing and construction quality assurance/acceptance program.
						<b>FHWA Action:</b> No action.
Non-STD designated lab performing Independent Assurance sampling and testing accredited by AASHTO Accreditation Program or FHWA approved comparable program assurance	23 CFR 637.209	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director, Materials and Tests Division	<b>TDOT Action:</b> Administer, with Programmatic Agreement by FHWA, as part of materials testing and construction quality assurance/acceptance program.
						<b>FHWA Action:</b> No action.
Labor Compliance - Prevailing Wage Rate Assurance	23 USC 113	As needed	Office of Infrastructure	Pavement & Materials Engineer	Director, Construction Division	<b>TDOT Action:</b> State monitors and reports as needed based on contract documents and circular letters/SOPs.
						<b>FHWA Action:</b> Review.

Emergency Relief Program Action Responsibility						
Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks

## Emergency Relief Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Letter of Intent to request ER Funds and Acknowledgement Letter	23 CFR 668	As needed	Office of Infrastructure	Team Leader, Field Operations	Director, Maintenance Division	<b>TDOT Action:</b> Submit request to FHWA within 72 hours of event.
						<b>FHWA Action:</b> Review and provide acknowledgement letter (3 business days).
Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Office of Infrastructure	Area Engineer with Assigned Responsibility	Director, Maintenance Division	<b>TDOT Action:</b> Perform detailed damage inspections, develop DSSR and submit within 6 weeks of disaster declaration date.
						<b>FHWA Action:</b> Participate in the inspections, review the inspection reports for adequacy, and determine eligibility.
Letter Requesting ER Funds	23 CFR 668	As needed	Office of Infrastructure	Area Engineer with Assigned Responsibility	Director, Maintenance Division	<b>TDOT Action:</b> Submit letter requesting ER funds with Governor's or Presidential Disaster Declaration.
						<b>FHWA Action:</b> Review and submit finding of eligibility letter to TDOT (5 business days).



### Emergency Relief Program Action Responsibility

Activity	Reference	Frequency / Due	FHWA HQ Program Office	FHWA Division Responsible Program Contact	TDOT Responsible Program Contact	Remarks
Permanent Restoration Repairs	23 CFR 668	As needed	Office of Infrastructure	Area Engineer with Assigned Responsibility	Director, Maintenance Division	<b>TDOT Action:</b> Develop plans and contract in accordance with Federal-aid requirements, then request authorization in FMIS prior to advertising construction.
						<b>FHWA Action:</b> Review and authorize project in FMIS (8 business days).
Final Cost Development and Submission	23 CFR 668	As needed	Office of Infrastructure	Area Engineer with Assigned Responsibility	Director, Maintenance Division	<b>TDOT Action:</b> Coordinate periodic review(s) of cost with FHWA during development of final cost for close out. Request concurrence of final close out from FHWA.
						<b>FHWA Action:</b> Review cost submission(s) and approve final cost (10 business days).

## APPENDIX C

### MANUALS AND OPERATING AGREEMENTS

#### **State DOT Manuals/Documents**

- Work Programs
  - Tennessee Technical Assistance Program
  - Statewide Planning and Research
  - Transportation Management Area/Metropolitan Planning Organization Unified Planning Work Programs
- Highway Safety Improvement Plan
- Standard Procurement of Engineering and Technical Services
- Consultant Contract Orientation Information
- Disadvantaged Business Enterprise (DBE) Plan
- Americans with Disabilities Act (ADA) Transition Plan
- Title VI Plan
- Internal/External EEO Plan/AA (Title VII)
- Tennessee Environmental Procedures Manual
- Right of Way Procedures Manual
- Standard Specifications for Road and Bridge Construction
- Standard Operating Guidelines, Pavement Management Program
- Standard Drawings Library
- Survey Manual
- Traffic Design Manual
- Tennessee MUTCD
- Design Division Drainage Manual
- Roadway Design Guidelines
- Work Zone Safety and Mobility Manual
- Drainage Manual
- Utility Manual
- Local Government Guidelines
- Materials and Tests Standard Operating Procedures
- Statewide Long Range Transportation Plan
- Statewide Transportation Improvement Plan

#### **Operating (Programmatic) Agreements**

- Memorandum of Agreement Among the Federal Highway Administration Tennessee Division Office, the Federal Transit Administration Region IV, and the Tennessee Department of Transportation Regarding the Definition and Need for Amendments/Administrative Adjustments to the Statewide Transportation Improvement Program/Transportation Improvement Programs in the State of Tennessee, 2013
- Tennessee Environmental Streamlining Agreement, 2014

- Agreement for Carrying out National Policy Relative to Control of Outdoor Advertising in Areas Adjacent to the National System of Interstate and Defense Highways and the Federal-aid Primary System, 1971, 1984 (ODA Agreement)
- Memorandum of Understanding (MOU) with the Tennessee Historical Commission, 2008 (Establishes conditions for the Safe Routes to School Program)
- MOU with the Tennessee Historical Commission,
  - Establishes conditions for highway-rail grade crossings, 2007
  - Establishes conditions for intersection improvements, 2006
  - Establishes conditions for the pavement management program, 2006
  - Establishes conditions for improvements for roadside safety, 2006
  - Establishes conditions for bridge repairs, 2005
  - Establishes conditions for electrical improvements, 2005
  - Establishes conditions for miscellaneous improvements, 2005
  - Establishes conditions for culvert repair and replacement, 2005
- Designation of the Lead Federal Agency Responsible for Compliance with Section 106 of the National Historic Preservation Act of 1966 for Federal-Aid Highway Projects within the Tennessee River Watershed of the State of Tennessee, 2004
- Categorical No Effects Projects Multi County Agreement, 1990 (Section 106)
- Memorandum of Agreement (MOA) with the Tennessee Wildlife Resources Agency, 2008